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PTO/SB/17 (11-01)

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**FEE TRANSMITTAL**  
**for FY 2002**

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$)**2,830.00****Complete if Known**

Application Number	09/987,237
Filing Date	NOVEMBER 14, 2001
First Named Inventor	RAYMOND A. JOAO
Examiner Name	
Group Art Unit	
Attorney Docket No.	RJV02

**METHOD OF PAYMENT (check all that apply)**☐ Check ☐ Credit card ☒ Money Order ☐ Other ☐ None☐ Deposit Account.Deposit Account Number  
Deposit Account Name

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments☐ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

**SUBTOTAL (1)** (\$)**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	X	
Independent Claims	-3** =	X	
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)**

(\$)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity | Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	1,960.00
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$)**2,090.00****SUBMITTED BY**

Complete (if applicable)

Name (Print/Type)	RAYMOND A. JOAO	Registration No. (Attorney/Agent)	35,907	Telephone	914-969-2992
Signature				Date	6/27/02

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
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09/987,237

11/14/2001

Raymond Anthony Joao

RJV02

CONFIRMATION NO. 6410

FORMALITIES LETTER



\*OC000000007127719\*

RAYMOND A. JOAO, ESQ.  
122 BELLEVUE PLACE  
YONKERS, NY 10703

Date Mailed: 11/28/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 870.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

11/28/01

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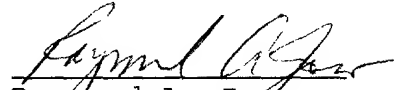




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#3  
MY \$

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 on June 27, 2002.

  
Raymond A. Joao

RJV02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT : RAYMOND A. JOAO  
SERIAL NO. : 09/987,237  
FILED : NOVEMBER 14, 2001  
FOR : APPARATUS AND METHOD FOR PROCESSING  
TRANSACTION INFORMATION

Assistant Commissioner for Patents  
Box Missing Parts/Corrected Application Papers  
Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF NONPROVISIONAL APPLICATION

Sir:

This is a Response to the Notice To File Missing Parts Of Nonprovisional Application, mailed November 28, 2001, in the above-identified application. The Notice To File Missing Parts Of Nonprovisional Application, mailed November 28, 2001, indicated that the statutory basic filing fee must be submitted along with the late filing fee surcharge as set forth in 37 CFR 1.16(1). The Notice To

File Missing Parts Of Nonprovisional Application also indicated that Substitute Drawings must be submitted.

Pursuant to the above-identified Notice To File Missing Parts Of Nonprovisional Application, Applicant submits herewith a money order in the amount of \$2,830.00 which includes payment for the following:

1. The statutory basic filing fee of \$740.00;
2. The late filing fee surcharge of \$130.00 as set forth in 37 CFR 1.16(1); and
3. The petition fee of \$1960.00 for payment for the required fee for a five month extension of time to file this Response.

A Petition For Extension of Time under 37 CFR 1.136(a), requesting a five month extension of time to file this RESPONSE TO NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION, is also submitted herewith. Applicant hereby requests a five month extension of time in order to respond to the above-identified Notice To File Missing Parts Of Nonprovisional Application.

A Fee Transmittal Sheet (in duplicate) is also submitted herewith.

Pursuant to the above-identified Notice To File Missing Parts Of Nonprovisional Application, Applicant also submits herewith Substitute Drawings for each of Figures 1, 2, 3, 4, 5A and 5B (6 sheets). Applicant respectfully submits that the Substitute Drawings are in compliance with 37 CFR 1.84. Applicant further submits that the Substitute Drawings do not contain new matter.

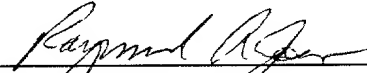
In view of the submission of the statutory basic filing fee (\$740.00), the late filing fee surcharge (\$130.00), the Petition For Extension of Time Under 37 CFR 1.136(a) for the five month extension of time along with the required petition fee (\$1960.00), and the submission of Substitute Drawings, Applicant respectfully submits that all missing parts have been provided and that no informalities exist in the above-identified application.

Entry of the statutory basic filing fee, the late filing fee surcharge, the Petition For Extension of Time under 37 CFR 1.136(a) requesting a five month extension of time, the required petition fee, and the Substitute

Drawings, in the above-identified application, is respectfully requested. In view of the foregoing, Applicant respectfully requests that the informality objections to the above-identified application be withdrawn.

A copy of the Notice To File Missing Parts Of Nonprovisional Application is also submitted herewith.

Respectfully Submitted,

  
Raymond A. Joao  
Reg. No. 35,907

- Encls: - Money order for \$2,830.00 for payment of the statutory basic filing fee of \$740.00, the late filing fee surcharge of \$130.00 and the fee for the Petition for the five month extension of time of \$1960.00;
- Petition For Extension of Time under 37 CFR 1.136(a) for Five month Extension of Time;
  - Fee Transmittal Sheet (in duplicate);
  - Substitute Drawings for Figures 1, 2, 3, 4, 5A and 5B (6 sheets);
  - Copy of the Notice To File Missing Parts Of Nonprovisional Application
  - Return Receipt Postcard

June 27, 2002  
122 Bellevue Place  
Yonkers, New York 10703  
(914) 969-2992